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CONFIRMATION NO. 5247

SERIAL NUMBER	FILING or 371(c) DATE	CLASS	GROUP ART UNIT	ATTORNEY DOCKET NO.	
10/632,818	08/04/2003	705	3691	2955/107	
APPLICANTS William R. Hambrecht, San Francisco, CA; Othar Hansson, Union City, CA; Jordan Hayes, Berkeley, CA; Alan Katz, Dallas, TX; Charles Ocheret, Scarsdale, NY; Matt Regan, Wayne, PA;					
** CONTINUING DATA ***** This application is a CON of 09/347,949 07/06/1999 PAT 6,629,082 <i>AK KB</i> which claims benefit of 60/139,511 06/15/1999 <i>add</i> and claims benefit of 60/140,293 06/18/1999 <i>add</i>					
** FOREIGN APPLICATIONS ***** <i>none</i>					
** IF REQUIRED, FOREIGN FILING LICENSE GRANTED *** SMALL ENTITY ** 10/31/2003					
Foreign Priority claimed <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 35 USC 119(a-d) conditions met <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Verified and /KELLY SCAGGS Acknowledged CAMPEN/ Examiner's Signature	<input type="checkbox"/> Met after Allowance Initials	STATE OR COUNTRY CA	SHEETS DRAWINGS 14	TOTAL CLAIMS 32	INDEPENDENT CLAIMS 3
ADDRESS BROMBERG & SUNSTEIN LLP 125 SUMMER STREET BOSTON, MA 02110-1618 UNITED STATES					
TITLE Auction system and method for pricing and allocation during capital formation					
FILING FEE RECEIVED 483	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit		